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PTO/SB/05 (03-01)

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 1584/65397  
 First Inventor Randy Prager, et al.  
 Title Desktop, Stream-Based, Information Management System  
 Express Mail Label No. EL628789664US

## APPROVAL ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2. ☐ Applicant claims small entity status.  
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages 29]  
*(preferred arrangement set forth below)*
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
5. Oath or Declaration [Total Pages 1]
- a. ☐ Newly executed (original or copy)  
 Copy from a prior application (37 CFR 1.63 (c))
- b. ☐ (for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

7. ☒ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Attorney (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

Prior application information:

Examiner 2771

Group Art Unit:

W. Amsbury

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(mark) (do not mark)

or ☐ Correspondence address below

Name

23432

PATENT TRANSMITTAL OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Ivan S. Kavrukov

Registration No. (Attorney/Agent)

25,161

Signature

Ivan S. Kavrukov

Date

June 26, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete the form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

06/26/01

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10/92/96

09/892385

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 710.00)

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Randy Prager, et al.
Examiner Name	
Group Art Unit	
Attorney Docket No.	1584/65397

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 03-3125

Deposit Account Name: Cooper & Dunham LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:  
☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION (continued)

3. ADDITIONAL FEES					Fee Description	Fee Paid
Fee Code	Large Entity (\$)	Small Entity (\$)	Fee Code	Small Entity (\$)		
105	130	205	65		Surcharge - late filing fee or oath	
127	60	227	25		Surcharge - late provisional filing fee or cover sheet	
139	130	139	130		Non-English specification	
147	2,520	147	2,520		For filing a request for ex parte reexamination	
112	920*	112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action	
115	110	215	55		Extension for reply within first month	
116	390	216	95		Extension for reply within second month	
117	890	217	445		Extension for reply within third month	
118	1,390	218	695		Extension for reply within fourth month	
128	1,890	228	945		Extension for reply within fifth month	
119	310	219	155		Notice of Appeal	
120	310	220	155		Filing a brief in support of an appeal	
121	270	221	135		Request for oral hearing	
138	1,510	138	1,510		Petition to institute a public use proceeding	
140	110	240	55		Petition to revive - unavoidable	
141	1,240	241	620		Petition to revive - unintentional	
142	1,240	242	620		Utility issue fee (or reissue)	
143	440	243	220		Design issue fee	
144	600	244	300		Plant issue fee	
122	130	122	130		Petitions to the Commissioner	
123	50	123	50		Processing fee under 37 CFR 1.17(a)	
126	180	126	180		Submission of Information Disclosure Stmt	
581	40	581	40		Recording each patent assignment per property (times number of properties)	
146	710	246	355		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355		For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355		Request for Continued Examination (RCE)	
169	900	169	900		Request for expedited examination of a design application	
Other fee (specify) _____						
SUBTOTAL (3) (\$ 710)						

## FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
101	710	201	355
106	320	206	160
107	490	207	245
108	710	208	355
114	150	214	75
SUBTOTAL (1) (\$ 710)			

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	
SUBTOTAL (2) (\$ 710)			

Large Entity Small Entity  
 Fee Fee Fee Fee  
 Code Code Code Code (\$ (\$ (\$ (\$)  
 103 15 203 9  
 102 80 202 40  
 104 270 204 135  
 106 80 209 40  
 110 18 210 9

Fee Description  
 Claims in excess of 20  
 Independent claims in excess of 3  
 Multiple dependent claim, if not paid  
 \*\* Reissue independent claims over original patent  
 \*\* Reissue claims in excess of 20 and over original patent

\*For number previously paid, if greater, For Reissues, see above

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type)	Ivan S. Kavrukov	Registration No. (Attorney/Agent)	25,161	Complete (if applicable)	
Signature	<i>Ivan S. Kavrukov</i>	Telephone	212-278-0400	Date	June 26, 2001

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of : Randy Prager, et al.

Serial No. : Group Art Unit:

Date Filed : Concurrently Herewith Examiner:

For : DESKTOP, STREAM-BASED,  
INFORMATION MANAGEMENT SYSTEM

1185 Avenue of the Americas  
New York, N.Y. 10036

Assistant Commissioner for Patents  
**Box Patent Application**  
Washington, D.C. 20231

**EXPRESS MAIL  
LETTER OF TRANSMITTAL**

Express Mail mailing label number: EL628789664US

Date of Deposit: June 26, 2001

I hereby certify that the above-identified application consisting of a 29-page specification, 9 sheets of drawings (Figs. 1-12), attached Transmission Letter in Accordance With 37 C.F.R. 1.52(e)(ii) with enclosed compact disk and list of files in hard-copy (in duplicate, with CD Copy 1 and CD Copy 2), Information Disclosure Statement, form PTO-1449 and a copy of the cited reference, Utility Patent Application Transmittal, and a check for the \$710 filing fee are being deposited with the United States Postal Service "Express Mail Post Office to Address-see" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



Person Depositing Express Mail Material

Attorney for Applicant:

IVAN S. KAVRUKOV, Reg. No. 25,161  
Cooper & Dunham LLP  
Tel: (212) 278-0400

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